

## Elements of a Scholarly Culture and Accountability Plan (SCAP)

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**Introduction.** At Duke University, we are operating in highly specialized and collaborative research environments, which means that discussion and implementation of practices for maintaining scientific integrity are of critical importance. The purpose of this Scholarly Culture and Accountability Plan is to develop a code of conduct that documents the processes within each entity (Department, Center, Institute, or School) that foster scientific integrity through innovation, discovery, open communication, and supportive mentorship and training.

**What is the primary objective of a SCAP?** The SCAP should describe:

- 1) the “big picture” by describing how your Department, Center, Institute, or School currently supports its research faculty, staff, and trainees (culture).
- 2) the responsibilities of each member to uphold and improve the current research and data management practices (accountability).

**To Whom does the SCAP apply?** The SCAP is a set of implemented practices and guidelines, applicable to all members within each Department, Center, Institute, or School and should be widely disseminated to all faculty, staff, and trainees who work within that entity. The SCAP should be widely accessible to every member of each entity and posted on the website of each entity to allow all members to read and discuss. If an entity does not want to publicly post its SCAP, the document may be posted online on the entity’s local intranet.

**Can the SCAP change over time?** The SCAP should be updated as new programs and initiatives are started and as older organizational structures are retired or re-shaped. Ideally, the document should be read and adjusted as needed, at least once per year by leadership and other involved entity members.

The following list of SCAP guidelines and questions are not all required components, however **a SCAP should include, at a minimum, a discussion of the following three elements.**

### I. Guiding Principles

- What are the fundamental principles that every research member should use for guidance in their daily research practices? (e.g. respect for co-workers, research subjects, and scientific method; questioning DOES NOT equal accusation; Principal Investigators are responsible to review all primary data, including negative data; encouraging honesty, transparency, and constructive scrutiny of research methods)

### II. Structural Organization of the Entity

- What is the leadership and structural organization of the entity, including information about the composition of the entity subgroups, divisions etc. (consider including an organizational chart if helpful).
- Document the members of the Research Quality Team, including the Lead Research Administrator and Research Quality Leader, and what their roles are within the entity
  - Who is responsible within each entity for ensuring that the environment supports the guiding principles of research integrity?
  - Who is responsible for ensuring data integrity within each subgroup or division? This might include multiple people, if not everyone, at different levels of the structural organization.
  - Who holds the primary responsibility for the SCAP within the entity?
  - Who should members contact should they want to discuss or propose changes to the SCAP, if different from the primary responsibility holder?

### III. Promoting a Culture of Accountability

#### A) Education of faculty, staff, and trainees

- What resources/programs are faculty, staff, and trainees encouraged or required to participate in to ensure that these guiding principles are communicated, discussed, and implemented? (e.g. Responsible Conduct of Research programs, professional development workshops for improving listening and communication skills, informal learning exchanges such as seminars or meetings)

#### B) Scientific Rigor and Reproducibility

##### 1) Communication

- How is honesty, transparency, and constructive scrutiny of research methods encouraged? (e.g. forums that encourage sharing all data, not only the data cleaned for publications)

##### 2) Research methods, study design

- Are there general or discipline-specific recommendations for improving research reproducibility? (e.g. blinded analyses or experimental repetition by having a second individual carry out the experiment or the analysis)

##### 3) Data management, storage, provenance

- Are there entity-specific guidelines for the Data Management Plans (DMPs) on how to manage, process, store, and share data? Do researchers attest that they have read and understood their unit's DMP?
- Are there entity-specific or Duke-wide resources available to aid researchers in data management, storage, and provenance needs? Consider providing a link to [Duke's Data Management Guidance document](#) online.
- Are there entity-specific considerations for how data are collected and secured (i.e. unique collaborations or data security requirements)?

#### C) Voicing Concerns

- Who should be contacted in the case that any issues should arise? (More than one communication channel should be highlighted should any one channel present a conflict of interest)
- Include useful Duke resources for discussing concerns, such as the following:

Research Integrity	Duke Office of Scientific Integrity: <a href="https://dosi.duke.edu">https://dosi.duke.edu</a>	
	Anonymous Duke Integrity Hot Line: 1-800-826-8109. You do not need to leave a name and calls will not be traced. Or call Duke's Misconduct Review Officer: 919-668-5115	
Financial Conflicts of Interest	<a href="https://dosi.duke.edu/conflict-interest">https://dosi.duke.edu/conflict-interest</a>	
Human Subjects	DUHS	DUHS Institutional Review Board: <a href="https://irb.duhs.duke.edu/contact-us">https://irb.duhs.duke.edu/contact-us</a>
	Campus Schools	Campus Institutional Review Board: <a href="https://campusirb.duke.edu/campus-institutional-review-board">https://campusirb.duke.edu/campus-institutional-review-board</a>
Animal Subjects	Duke Animal Care and Use Program: <a href="https://sites.duke.edu/oawa/">https://sites.duke.edu/oawa/</a>	
Workplace Environment	Occupational and Environmental Safety Office: <a href="https://www.safety.duke.edu/">https://www.safety.duke.edu/</a>	
	Office for Institutional Equity: <a href="https://oie.duke.edu/">https://oie.duke.edu/</a>	
Ombudspersons	University trainees	Undergraduate, Graduate, and Professional Students: Ada Gregory, 919-660-2444 or <a href="mailto:ada.gregory@duke.edu">ada.gregory@duke.edu</a>
	School of Medicine trainees	Student and Postdoctoral: Jean Spaulding, 919-668-3326 or <a href="mailto:ombudsman@mc.duke.edu">ombudsman@mc.duke.edu</a>
	Campus Faculty	Thomas B. Metzloff, 919-613-7055 or <a href="mailto:Metzloff@law.duke.edu">Metzloff@law.duke.edu</a>
	School of Medicine Faculty	Laura Svetkey, 919-681-6386 or <a href="mailto:laura.svetkey@duke.edu">laura.svetkey@duke.edu</a>